

Individual Name: _____ Incident # _____

DMHDDAS Incident Report and Incident Investigation/Follow-up Review

Date/Time of Incident	Date of Review	Reviewer	Investigator / Team Leader	Facility

Instructions: All information to complete the Incident Report Investigation Review is obtained from the Incident Report. All Standards should be marked as follows:

Yes = information is present and meets the standard;

No = information is not present, OR information is present but does not meet the standard;

Na = Standard is not relevant for the incident.

The Comments section may be used to clarify information, but it may not be used as a stand-alone response.

For further information related to the Standards, see the DMHDDAS Facility Risk Management Protocol (FRMP) effective September 1, 2008.

Standard for Facility Responsibility Pages 1-5		Y e s	N o	Comments
1.	All applicable areas on Page 1 of the Incident Report contain data.			
2.	All applicable areas on Page 2 of the Incident Report contain data.			
3.	All applicable areas on Page 3 of the Incident Report contain data.			
4.	All applicable areas on Page 4 of the Incident Report contain data.			
5.	All applicable areas on Page 5 of the Incident Report contain data.			

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	na	Comments
1.	The investigation was started and completed on the same day as the Incident Report.				
2.	Immediate steps to secure the scene are described - AS APPLICABLE.				
2.a.	Immediately remove the potential target employee(s), and keep them separated.				

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
2.b.	Obtain photographs of all visible injuries or photographs to document that no injury is present.				
2.c.	Prohibit any person from removing or destroying potential or actual evidence.				
2.d.	Keep potential witnesses at the scene, and keep them separated.				
3.	Activity at the time of the incident is described - AS APPLICABLE.				If Incident is Peer to Peer Aggression with No or Minor Injury, Skip this Step.
3.a.	Record the intervention strategies that were used with the individual.				
3.b.	Record the precipitating event for the incident.				
3.c.	Record the early warning signs the individual was displaying before the incident occurred.				
3.d.	Describe the staffing considerations (untrained staff, staff not familiar with individual, new staff, etc.) at the time of the incident.				
3.e.	Describe the staff actions before, during, and after the incident.				
3.f.	Describe whether active treatment was occurring.				
3.g.	Describe what the individual was doing before, during, and after the incident.				
3.h.	Describe what the assigned staff was doing before, during, and after the incident.				

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
4.	A summary of findings is described.				If Incident is Peer to Peer Aggression with No or Minor Injury, Skip this Step.
4.a.	Summary:				
4.b.	Summary of intervention strategies that should have been used compared to the activities in box #3a-h:				
5.	Conclusions are recorded.				
6.	Recommendations are recorded.				

Standard for Team Leader Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
1.	A description of how the incident affected the individual is described.				
1.a.	Status:				
1.b.	Isolated or trend?				
2.	If the YES block is checked, indicating - additional follow-up needed, follow-up is recorded.				

DMHDDAS: If any Standard is marked "NO" follow-up documentation with the Facility Director (email, mail, or verbal, which should be documented) should be attached to this Review Form.

Individual Name: Record Individual's nameIncident # Record Incident #**DMHDDAS Incident Report and Incident Investigation/Follow-up Review**

Date/Time of Incident	Date of Review	Reviewer	Investigator / Team Leader	Facility
Record the date and time of the incident	Record the date of the Review	Record the Reviewer's name	Inv: Record the investigator's name TL: Record the Team Leader's name	Record the name of the facility

Instructions: **All** information to complete the Incident Report Investigation Review is obtained from the **Incident Report**. All Standards should be marked as follows:

Yes = information is present and meets the standard;

No = information is not present, OR information is present but does not meet the standard;

Na = Standard is not relevant for the incident.

The Comments section may be used to clarify information, but it may not be used as a stand-alone response.

For further information related to the Standards, see the DMHDDAS Facility Risk Management Protocol (FRMP) effective September 1, 2008.

Standard for Facility Responsibility Pages 1-5		Y e s	N o	Comments
1.	All applicable areas on Page 1 of the Incident Report contain data.			This standard is met if: a. All areas on Page 1 are completed
2.	All applicable areas on Page 2 of the Incident Report contain data.			This standard is met if: a. All areas on Page 2 are completed
3.	All applicable areas on Page 3 of the Incident Report contain data.			This standard is met if: a. All areas on Page 3 are completed
4.	All applicable areas on Page 4 of the Incident Report contain data.			This standard is met if: a. All areas on Page 4 are completed
5.	All applicable areas on Page 5 of the Incident Report contain data.			This standard is met if: a. All areas on Page 5 are completed

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	na	Comments
1.	The investigation was started and completed on the same day as the Incident Report.				This standard is met if: a. Incident Report date and the Investigation/ Follow-up date are the same OR if not, a clear reason is documented.
2.	Immediate steps to secure the scene are described - AS APPLICABLE.				
2.a.	Immediately remove the potential target employee(s), and keep them separated.				This standard is met if: a. Removal of target employees is evident, and b. Separation of target employees is evident, or c. A clear reason for not doing a and/or b is documented, or d. No target employees are identified, and e. NA is appropriately documented
2.b.	Obtain photographs of all visible injuries or photographs to document				This standard is met if: (IF APPLICABLE) a. Photographs of visible injuries is evident, or

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
	that no injury is present.				b. Photographs of non-injury is evident, or c. NA is appropriately documented
2.c.	Prohibit any person from removing or destroying potential or actual evidence.				This standard is met if: a. Prohibition of removing or destroying potential or actual evidence is evident, or b. NA is appropriately documented
2.d.	Keep potential witnesses at the scene, and keep them separated.				This standard is met if: a. Keeping potential witnesses at the scene is evident, and b. Separation of potential witnesses is evident, or c. A clear reason for not doing a and/or b is documented, or d. No witnesses are identified, and e. NA is appropriately documented
3.	Activity at the time of the incident is described - AS APPLICABLE.				If Incident is Peer to Peer Aggression with No or Minor Injury, Skip this Step.
3.a.	Record the intervention strategies that were used with the individual.				This standard is met if: a. Intervention strategies used with the individual are evident, or b. NA is appropriately documented
3.b.	Record the precipitating event for the incident.				This standard is met if: a. Precipitating event for the incident is evident, or b. NA is appropriately documented
3.c.	Record the early warning signs the individual was displaying before the incident occurred.				This standard is met if: a. Early warning signs of the individual or event are evident, or b. NA is appropriately documented
3.d.	Describe the staffing considerations (untrained staff, staff not familiar with individual, new staff, etc.) at the time of the incident.				This standard is met if: a. Staff considerations are evident, or b. NA is appropriately documented
3.e.	Describe the staff actions before, during, and after the incident.				This standard is met if: a. Staff actions before, during, and after the incident are evident, or b. NA is appropriately documented
3.f.	Describe whether active treatment was occurring.				This standard is met if: a. Active treatment occurrence is addressed, or b. NA is appropriately documented
3.g.	Describe what the individual was doing before, during, and after the incident.				This standard is met if: a. Individual's actions before, during, and after the incident are evident, or b. NA is appropriately documented
3.h.	Describe what the assigned staff was doing before, during, and after the incident.				This standard is met if: a. Assigned staff actions before, during, and after the incident are evident, or b. NA is appropriately documented
4.	A summary of findings is described.				If Incident is Peer to Peer Aggression with No or

Standard for Supervisor Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
					Minor Injury, Skip this Step.
4.a.	Summary:				This standard is met if: a. A summary of the findings of the incident are described.
4.b.	Summary of intervention strategies that should have been used compared to the activities in box #3a-h:				This standard is met if: a. A summary of the intervention strategies that should have been used compared to the intervention strategies used are described, or b. NA is appropriately documented.
5.	Conclusions are recorded.				This standard is met if: a. Outcome of the incident is described
6.	Recommendations are recorded.				This standard is met if: a. Recommendations are recorded that lead towards improving the quality of care for individuals, e.g. retrain staff on Topic XYZ, request assistance from Team Leader/case manager for additional training, talk with supervisor to request change in staffing, hole in bathroom wall be repaired to prevent plaster from falling, etc.

Standard for Team Leader Responsibility Incident Investigation/Follow-Up Form Page 4		Y e s	N o	n a	Comments
1.	A description of how the incident affected the individual is described.				
1.a.	Status:				This standard is met if: a. Effect of the incident on Individual A is described, or b. NA is appropriately documented
1.b.	Isolated or trend?				This standard is met if: a. Effect of the incident on Individual B is described, or b. NA is appropriately documented
2.	If the YES block is checked, indicating - additional follow-up needed, follow-up is recorded.				This standard is met if: a. Incident is identified as isolated or part of a trend, or b. NA is appropriately documented

DMHDDAS: If any Standard is marked "NO" follow-up documentation with the Facility Director (email, mail, or verbal, which should be documented) should be attached to this Review Form.